

FORM PTO-1390 (Modified)  
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES**  
**DESIGNATED/ELECTED OFFICE (DO/EO/US)**  
**CONCERNING A FILING UNDER 35 U.S.C. 371**

538

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.5)

09/509326

INTERNATIONAL APPLICATION NO.  
**PCT/KR00/00125**

INTERNATIONAL FILING DATE  
**16 February 2000 (16.02.00)**

PRIORITY DATE CLAIMED  
**24 February 1999 (24.02.99)**

## TITLE OF INVENTION

**AUTOMATIC ORDERING METHOD AND SYSTEM FOR TRADING OF STOCK, BOND, ITEM,  
 FUTURE INDEX, OPTION, INDEX AND SO ON**

APPLICANT(S) FOR DO/EO/US

**Min-Ho CHA**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ A copy of the International Search Report (PCT/ISA/210).
8. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☒ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

**Items 13 to 20 below concern document(s) or information included:**

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☐ Other items or information:

U.S. APPLICATION NO. (IF KNOWN) 37 CFR 1.5) <b>09/5093</b>		INTERNATIONAL APPLICATION NO. <b>PCT/KR00/00125</b>		ATTORNEY'S DOCKET NUMBER <b>5387-3</b>	
21. The following fees are submitted: <b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5) ) :</b> <input checked="" type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... <b>\$970.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... <b>\$840.00</b> <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$690.00</b> <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$670.00</b> <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$96.00</b> <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>CALCULATIONS PTO USE ONLY</b>  <div style="border: 1px solid black; height: 100px; width: 100%;"></div>	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				<b>\$0.00</b>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	13 - 20 =	0	x \$18.00	<b>\$0.00</b>	
Independent claims	4 - 3 =	1	x \$78.00	<b>\$78.00</b>	
Multiple Dependent Claims (check if applicable).			<input checked="" type="checkbox"/>	<b>\$260.00</b>	
<b>TOTAL OF ABOVE CALCULATIONS</b>				<b>=</b>	<b>\$1,308.00</b>
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).			<input checked="" type="checkbox"/>	<b>\$654.00</b>	
<b>SUBTOTAL</b>				<b>=</b>	<b>\$654.00</b>
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).			<b>+</b>	<b>\$0.00</b>	
<b>TOTAL NATIONAL FEE</b>				<b>=</b>	<b>\$654.00</b>
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).			<input type="checkbox"/>	<b>\$0.00</b>	
<b>TOTAL FEES ENCLOSED</b>				<b>=</b>	<b>\$654.00</b>
				Amount to be:	\$
				refunded	\$
				charged	\$

- ☒ A check in the amount of **654.00** to cover the above fees is enclosed.
- ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **13-1703** A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

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SIGNATURE

ALAN T. McCOLLOM

NAME

28,881

REGISTRATION NUMBER

24 MARCH 2000

DATE

520cc'd PCT/PTO 24 MAR 2000

Aley's Docket No. 5387-3

EXPRESS MAIL

MAILING LABEL NO. EL253052345US  
DATE OF DEPOSIT: MARCH 24, 2000

I HEREBY CERTIFY THAT THIS PAPER AND ENCLOSURES AND/OR FEE ARE BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE "EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER 37 CFR 1.10 ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO: BOX PCT, ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON D.C. 20231.

TABITHA JOHNSON  
(SENDER'S PRINTED NAME)

(SIGNATURE)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
(RO/US)

In Re: International Application  
No. PCT/KR00/00125

Filed: February 16, 2000

Applicant: Min-Ho CHA

Title of Invention: AUTOMATIC ORDERING METHOD AND SYSTEM FOR  
TRADING OF STOCK, BOND, ITEM, FUTURE INDEX, OPTION,  
INDEX AND SO ON

Agent's File Ref: Docket No. 5387-3

Box PCT  
Assistant Commissioner for Patents  
Washington, D.C. 20231

#### Transmittal Letter

Enclosed for filing regarding the above-referenced International Application are the following:

- (X) Transmittal letter to U.S. Designated Office (DO/EO/US)  
concerning filing Under 35 U.S.C. 371;
- (X) Copy of the PCT Request;
- (X) Copy of the English Translation of Korean Application;
- (X) Formal Drawings FIGS. 1-7, (7 sheets);
- (X) Combined Declaration and Power of Attorney signed by inventor;
- (X) Declaration Claiming Small Entity;
- (X) A check in the amount of \$654.00 to cover filing fee and assignment recording fee.
- (X) Any deficiency or overpayment should be charged or credited to deposit account  
number 13-1703. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

MARGER JOHNSON & McCOLLOM, P.C.

By

Alan T. McCollom, Reg. No. 28,881

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